



FIG. 1

100

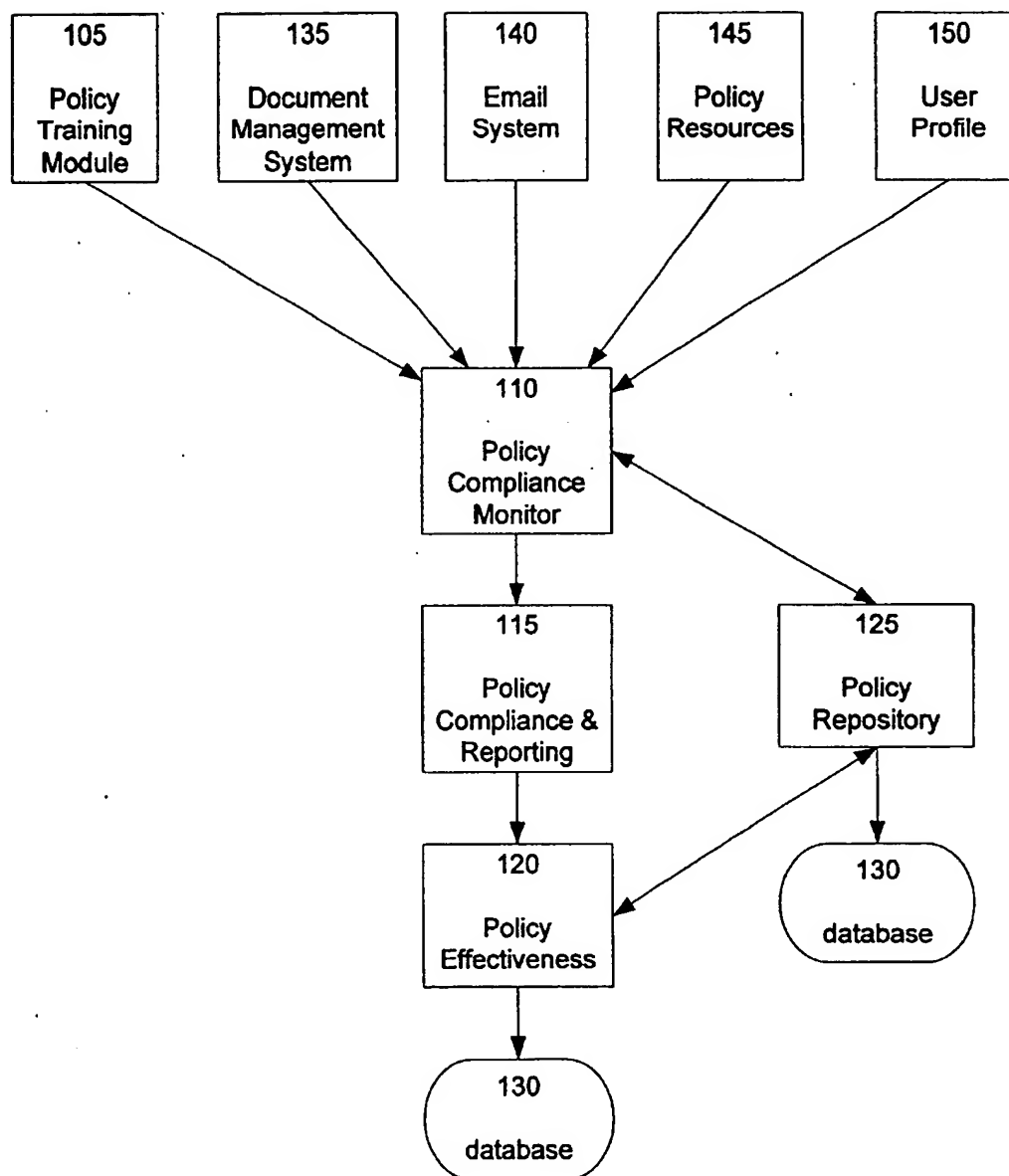
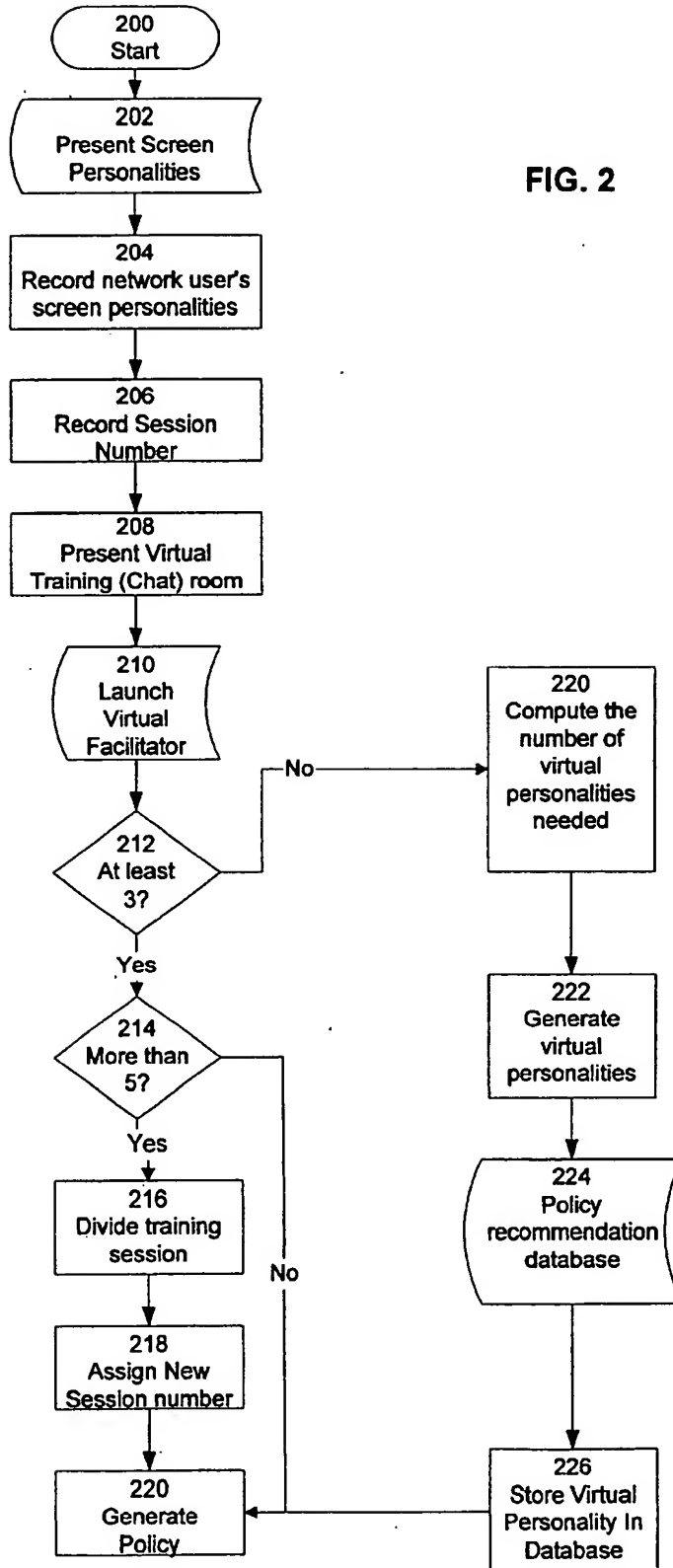
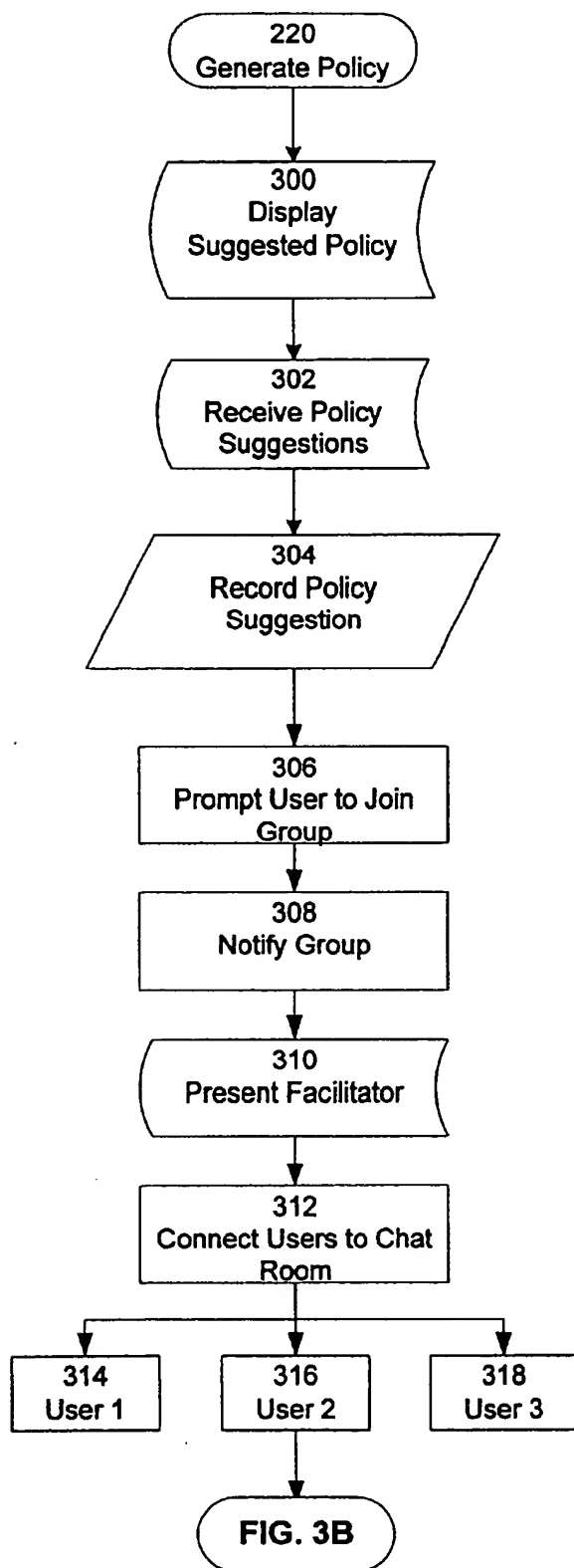


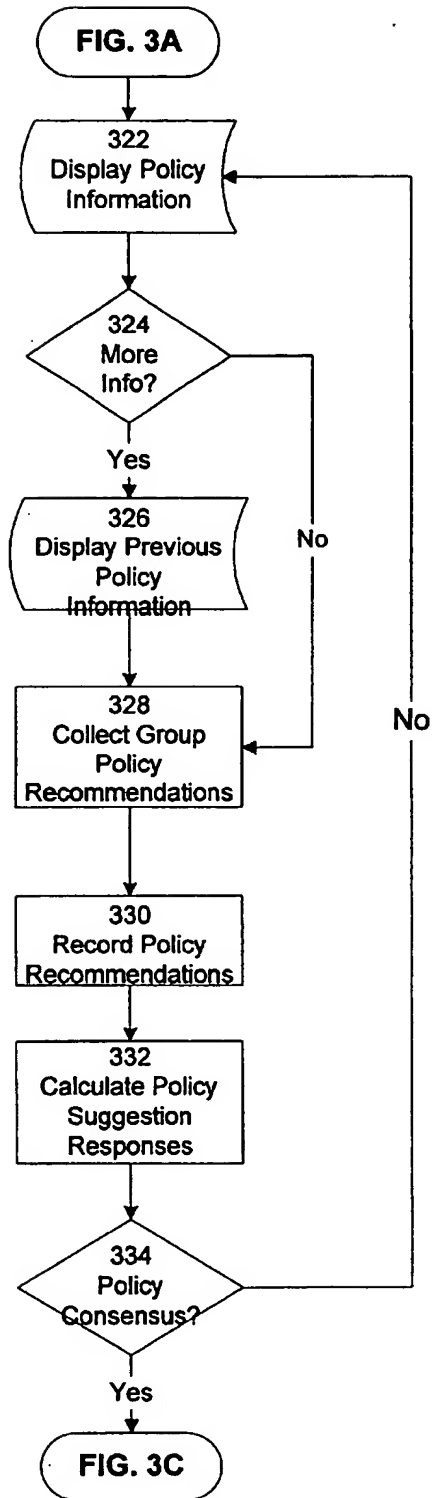
FIG. 2



**FIG. 3A**



**FIG. 3B**



**FIG. 3C**

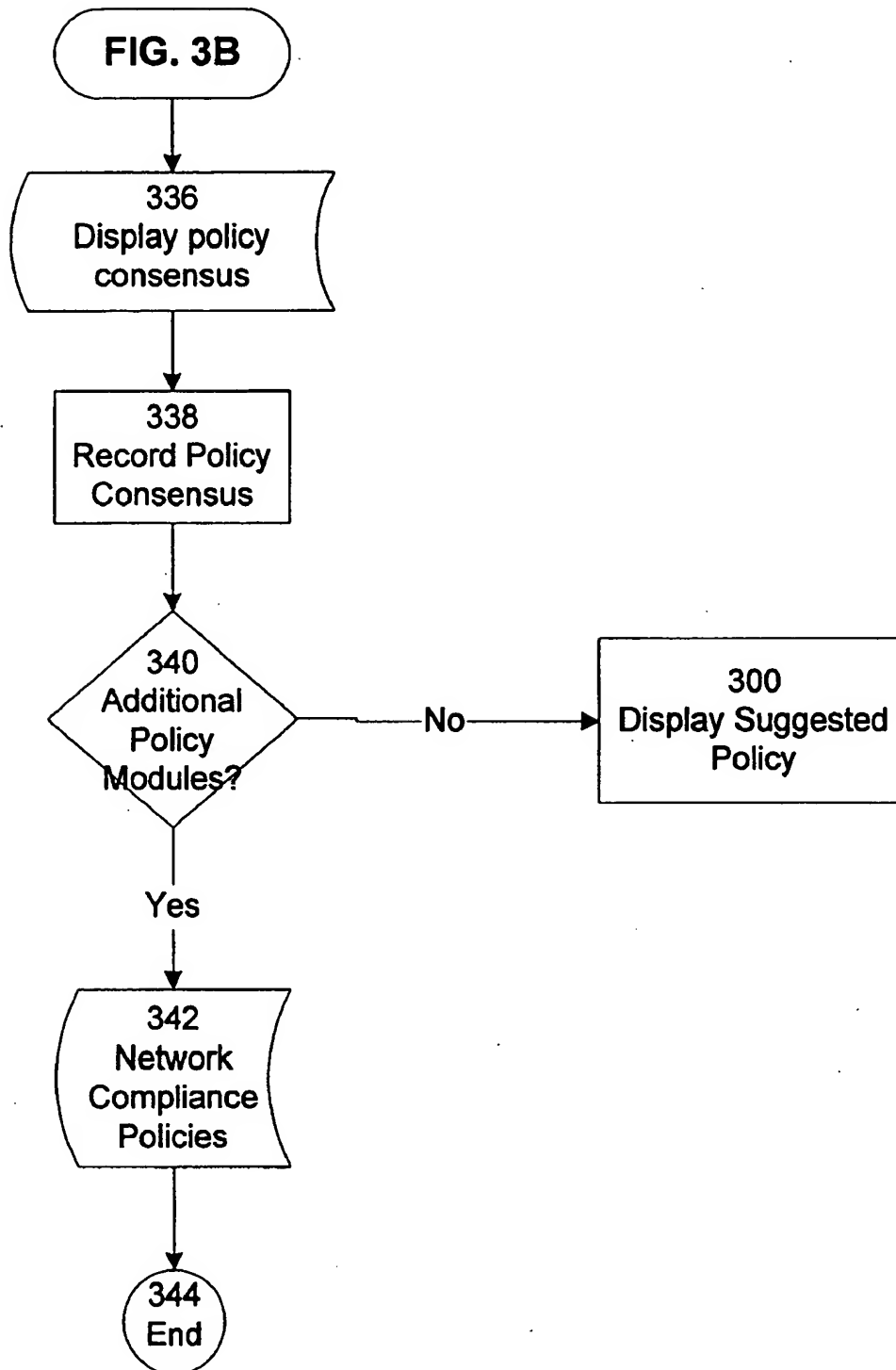


FIG. 4

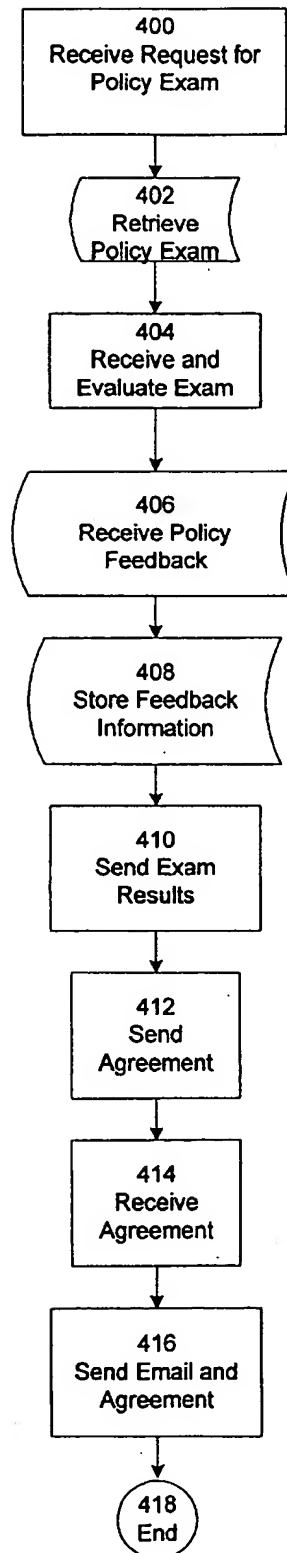
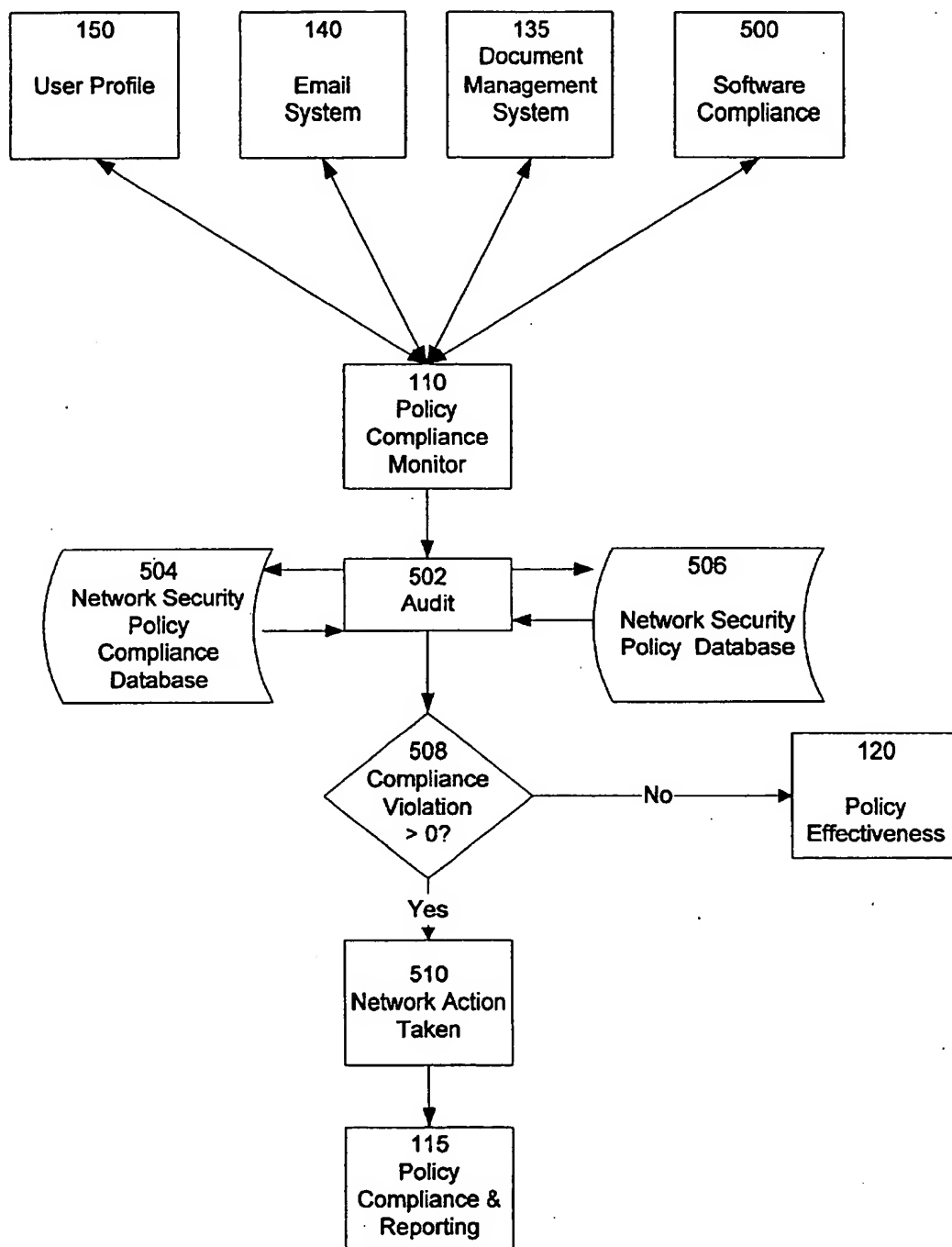
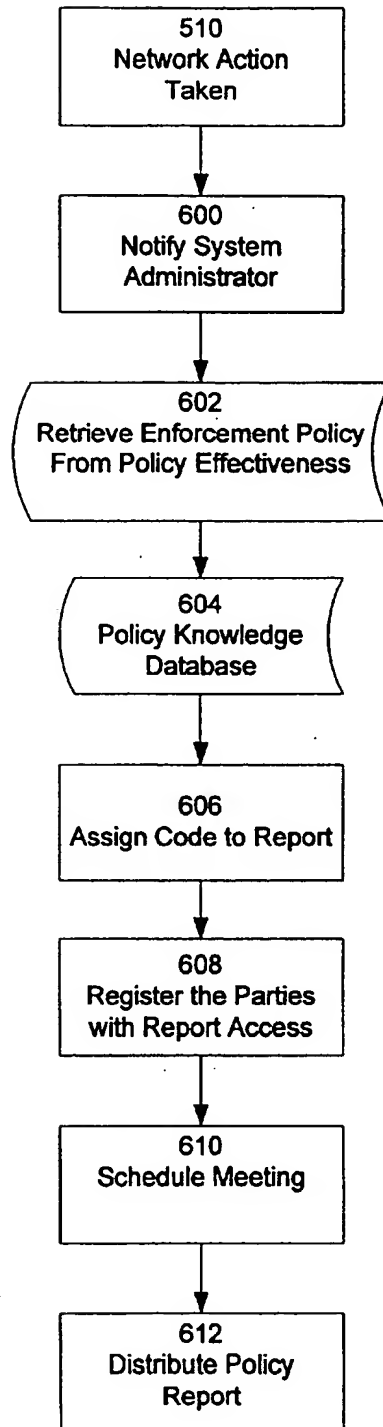


FIG. 5



**FIG. 6**





**FIG. 7**

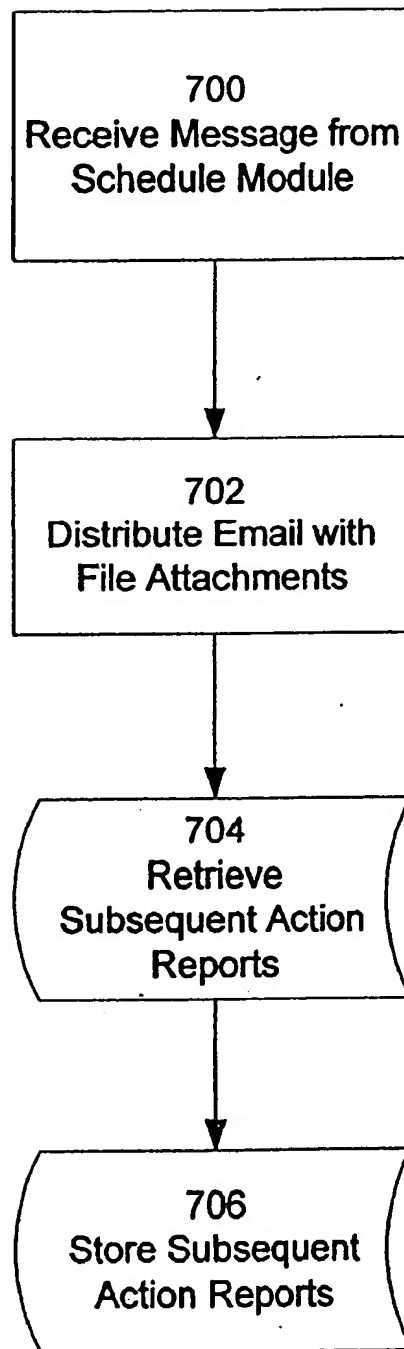
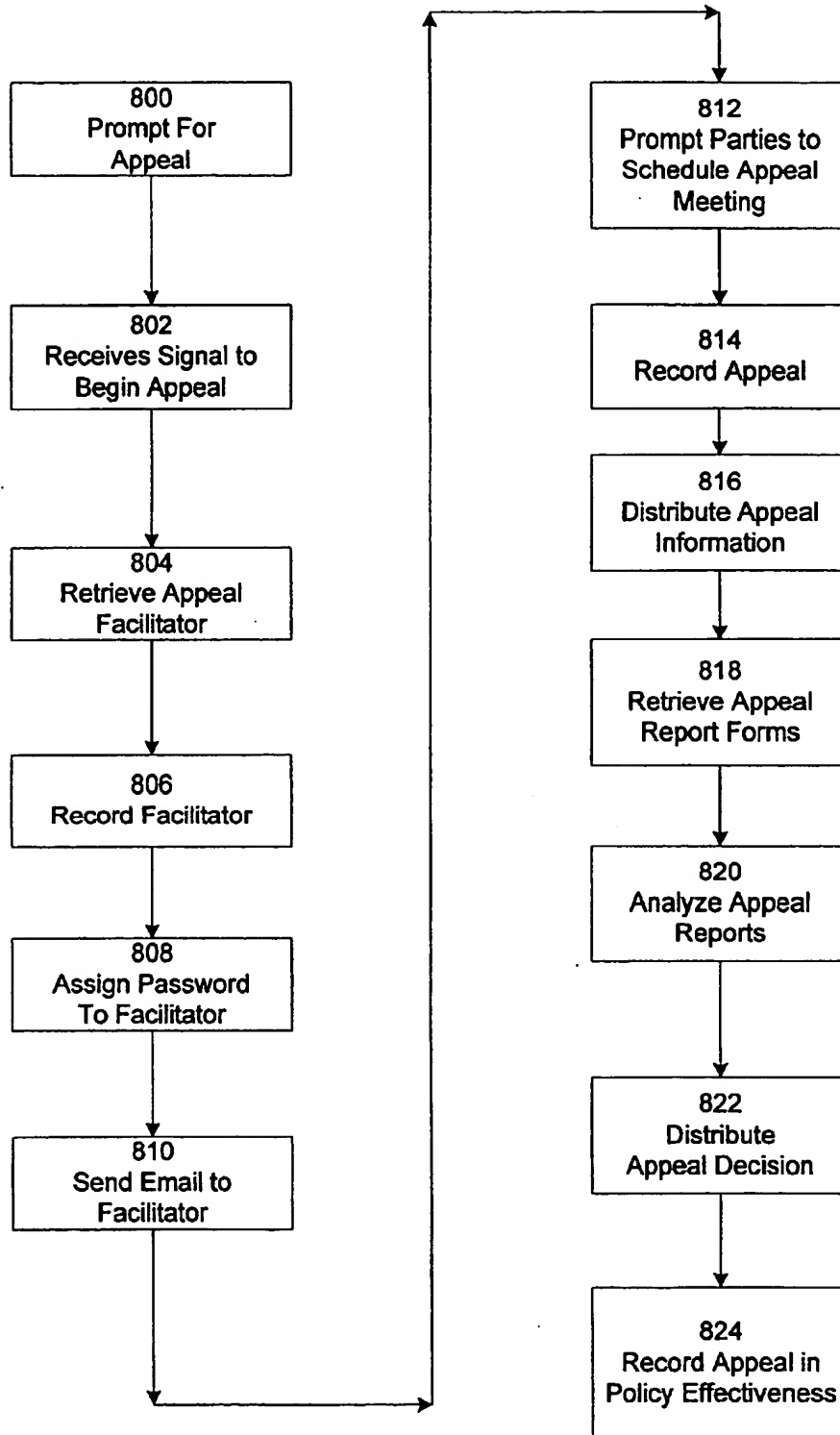
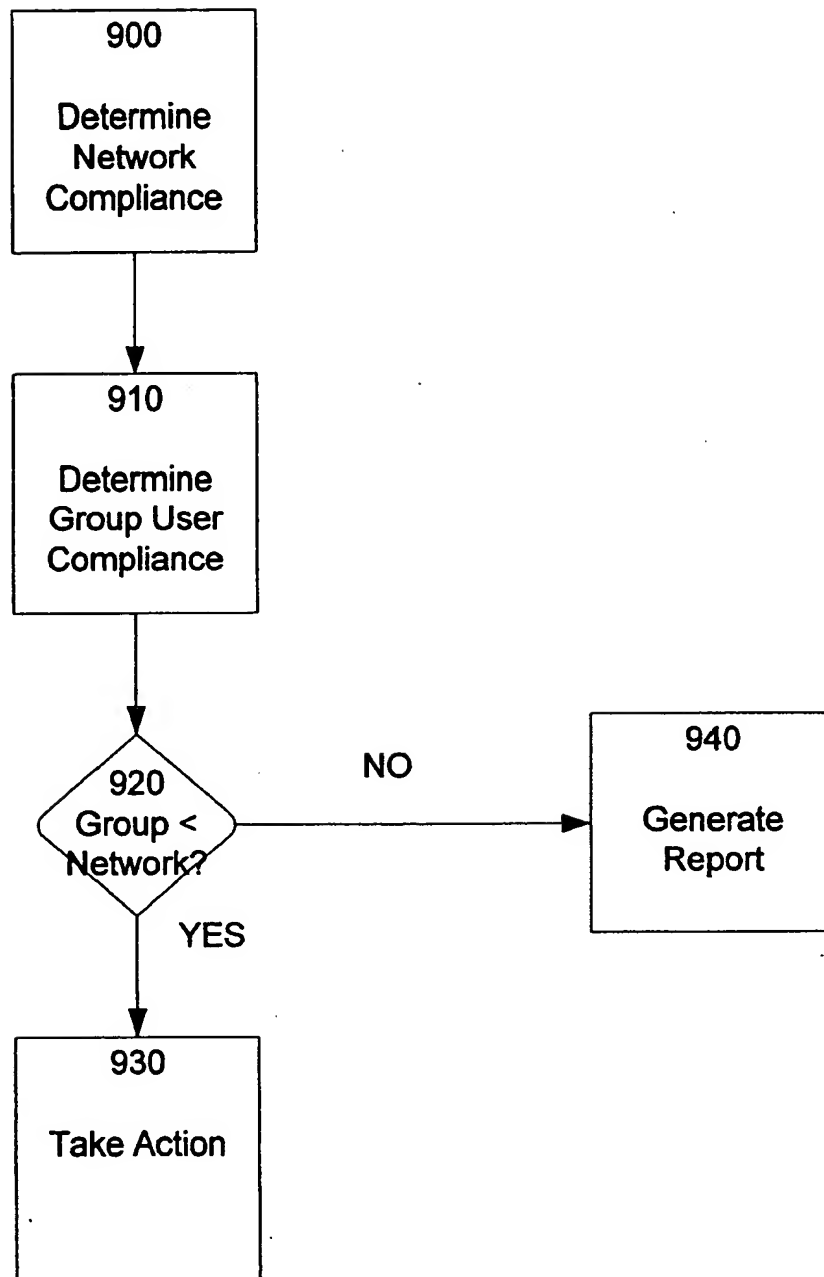


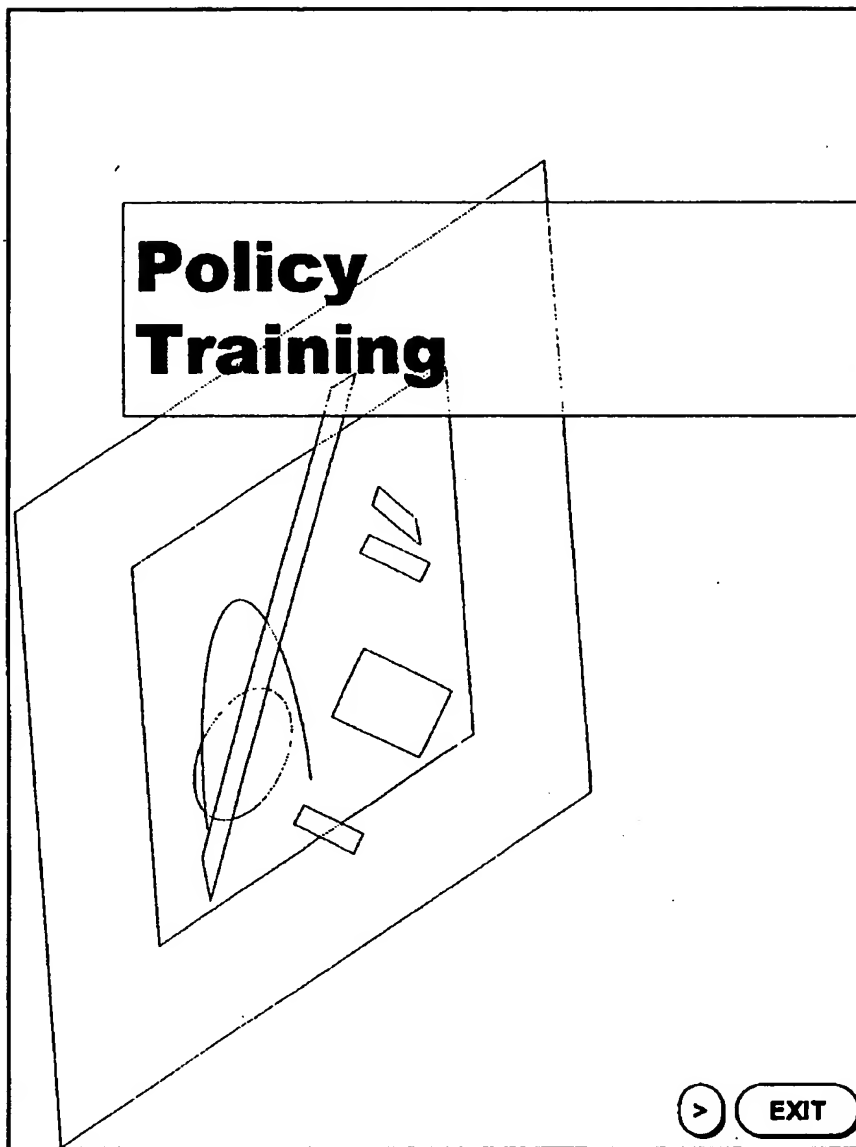
FIG. 8



**FIG. 9**



**Figure 10**



## Figure 11

	<div data-bbox="503 646 964 814"><h3>Licensing Agreement for Virtual Policy Builder</h3></div> <div data-bbox="337 877 1117 1024"><p><b>END-USER LICENSE AGREEMENT FOR VIRTUAL POLICY BUILDER SOFTWARE - VIRTUAL WORKSPACE IMPORTANT- READ CAREFULLY:</b> This End-User License Agreement ("EULA") is a legal agreement between you (either an individual or a single entity) and the manufacturer ("PC Manufacturer") of the computer system ("COMPUTER") with which you acquired the Virtual Workspace software product(s) identified above ("SOFTWARE PRODUCT" or "SOFTWARE"). If the SOFTWARE PRODUCT is not accompanied by a new computer system, you may not use or copy the SOFTWARE PRODUCT. The SOFTWARE PRODUCT includes computer software, the associated media, any printed materials, and any "online" or electronic documentation. By installing, copying or otherwise using the SOFTWARE PRODUCT, you agree to be bound by the terms of this EULA. If you do not agree to the terms of this EULA, PC Manufacturer and Virtual Workspace are unwilling to license the SOFTWARE PRODUCT to you. In such event, you may not use or copy the SOFTWARE PRODUCT, and you should promptly contact PC Manufacturer for instructions on return of the unused product(s) for a refund.</p></div> <div data-bbox="337 1037 1117 1087"><p><b>SOFTWARE PRODUCT LICENSE</b> The SOFTWARE PRODUCT is protected by copyright laws and international copyright treaties, as well as other intellectual property laws and treaties. The SOFTWARE PRODUCT is licensed, not sold.</p></div> <div data-bbox="337 1087 1117 1348"><p><b>1. GRANT OF LICENSE.</b> This EULA grants you the following rights:</p><ul style="list-style-type: none"><li>* <b>Software.</b> You may install and use one copy of the SOFTWARE PRODUCT on the COMPUTER.</li><li>* <b>Network Services.</b> If the SOFTWARE PRODUCT includes functionality that enables the COMPUTER to act as a network server, any number of computers or workstations may access or otherwise utilize the basic network services of that server. The basic network services are those fully described in the printed materials accompanying the SOFTWARE PRODUCT.</li><li>* <b>Storage/Network Use.</b> You may also store or install a copy of the computer software portion of the SOFTWARE PRODUCT on the COMPUTER to allow your other computers to use the SOFTWARE PRODUCT over an internal network, and distribute the SOFTWARE PRODUCT to your other computers over an internal network. However, you must acquire and dedicate a license for the SOFTWARE PRODUCT for each computer on which the SOFTWARE PRODUCT is used or to which it is distributed. A license for the SOFTWARE PRODUCT may not be shared or used concurrently on different computers.</li><li>* <b>Operating System Choice.</b> PC Manufacturer may have elected to provide you with a choice of Virtual Workspace operating system software for the COMPUTER.</li><li>* <b>DEM Back-up Utility.</b> If PC Manufacturer has not included a back-up copy of the SOFTWARE PRODUCT with the COMPUTER, you may use the Virtual Workspace back-up utility, if included with the SOFTWARE PRODUCT, to make a single back-up copy of the SOFTWARE PRODUCT. You may use the back-up copy solely for archival purposes. After the single back-up copy is made, the backup utility will be permanently disabled.</li></ul></div> <div data-bbox="337 1360 1117 1612"><p><b>2. DESCRIPTION OF OTHER RIGHTS AND LIMITATIONS.</b></p><ul style="list-style-type: none"><li>* <b>Limitations on Reverse Engineering, Decompilation and Disassembly.</b> You may not reverse engineer, decompile, or disassemble the SOFTWARE PRODUCT, except and only to the extent that such activity is expressly permitted by applicable law notwithstanding this limitation.</li><li>* <b>Separation of Components.</b> The SOFTWARE PRODUCT is licensed as a single product. Its component parts may not be separated for use on more than one computer.</li><li>* <b>Single COMPUTER.</b> The SOFTWARE PRODUCT is licensed with the COMPUTER as a single integrated product. The SOFTWARE PRODUCT may only be used with the COMPUTER.</li><li>* <b>Resale.</b> You may not rent or lease the SOFTWARE PRODUCT.</li><li>* <b>Software Transfer.</b> You may permanently transfer all of your rights under this EULA only as part of a sale or transfer of the COMPUTER, provided you retain no copies, you transfer all of the SOFTWARE PRODUCT (including all component parts, the media and printed materials, any upgrades, this EULA and, if applicable, the Certificate(s) of Authenticity), AND the recipient agrees to the terms of this EULA. If the SOFTWARE PRODUCT is an upgrade, any transfer must include all prior versions of the SOFTWARE PRODUCT.</li><li>* <b>Termination.</b> Without prejudice to any other rights, Virtual Workspace may terminate this EULA if you fail to comply with the terms and conditions of this EULA. In such event, you must destroy all copies of the SOFTWARE PRODUCT and all of its component parts.</li></ul></div>
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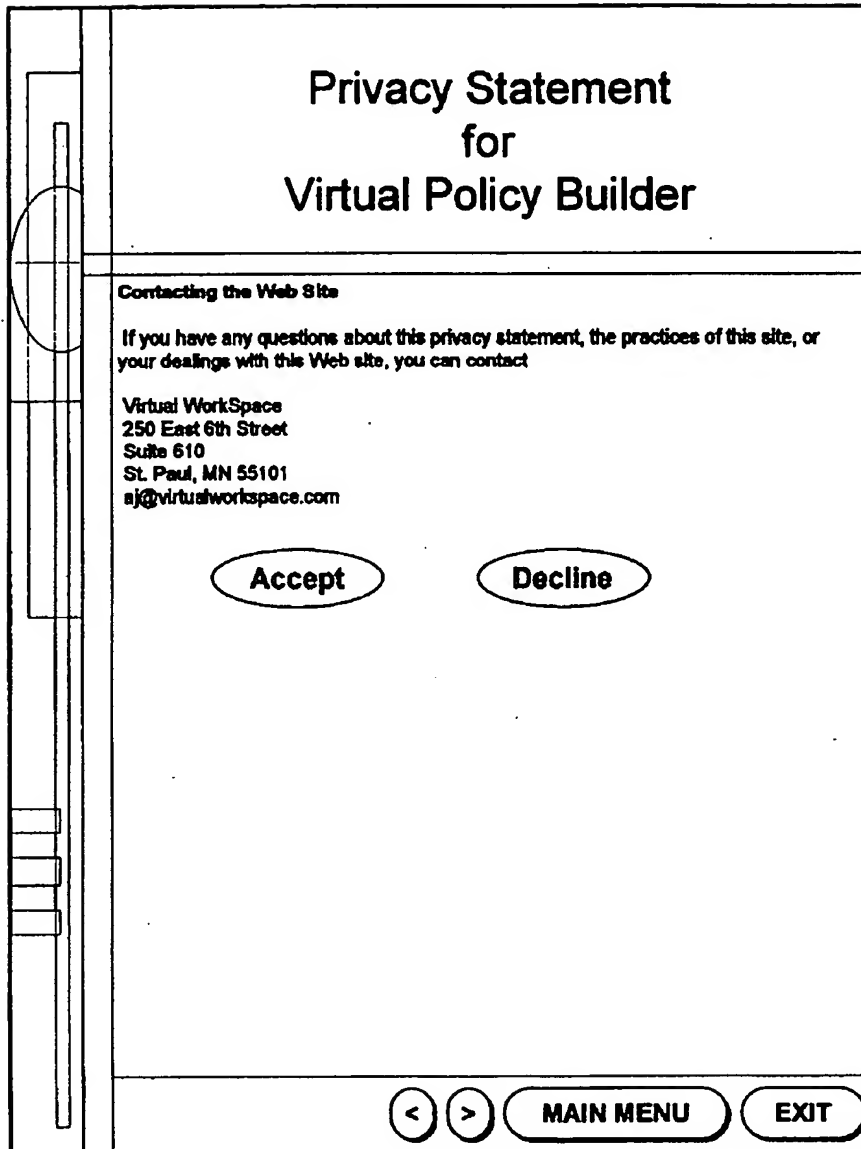
Figure 12

	<h2 style="text-align: center;">Licensing Agreement for Virtual Policy Builder</h2>
	<p><b>Conditions</b></p> <p>3. <b>UPGRADES.</b> If the SOFTWARE PRODUCT is an upgrade from another product, whether from Virtual Workspace or another supplier, you may use or transfer the SOFTWARE PRODUCT only in conjunction with that upgraded product, unless you destroy the upgraded product. If the SOFTWARE PRODUCT is an upgrade of a Virtual Workspace product, you may use that upgraded product only in accordance with this EULA. If the SOFTWARE PRODUCT is an upgrade of a component of a package of software programs which you licensed as a single product, the SOFTWARE PRODUCT may be used and transferred only as part of that single product package and may not be separated for use on more than one computer.</p> <p>4. <b>OEM COPYRIGHT.</b> All title and copyrights in and to the SOFTWARE PRODUCT (including but not limited to any images, photographs, animations, video, audio, text and "applets," incorporated into the SOFTWARE PRODUCT), the accompanying printed materials, and any copies of the SOFTWARE PRODUCT, are owned by Virtual Workspace or its suppliers. The SOFTWARE PRODUCT is protected by copyright laws and international treaty provisions. You may not copy the printed materials accompanying the SOFTWARE PRODUCT.</p> <p>5. <b>DUAL-MEDIA SOFTWARE.</b> You may install the SOFTWARE PRODUCT in more than one medium. Regardless of the type or size of medium you receive, you may use only one medium that is appropriate for your single computer. You may not use or install the other medium on another computer. You may not loan, rent, lease, or otherwise transfer the other medium to another user, except as part of the permanent transfer (as provided above) of the SOFTWARE PRODUCT.</p> <p>6. <b>OEM PRODUCT SUPPORT.</b> Product support for the SOFTWARE PRODUCT is NOT provided by Virtual Workspace Corporation or its subsidiaries. For product support, please refer to PC Manufacturer's support number provided in the documentation for the COMPUTER. Should you have any questions concerning this EULA, or if you desire to contact PC Manufacturer for any other reason, please refer to the address provided in the documentation the COMPUTER.</p> <p>7. <b>OEM U.S. GOVERNMENT RESTRICTED RIGHTS.</b> The SOFTWARE PRODUCT and documentation are provided with RESTRICTED RIGHTS. Use, duplication, or disclosure by the Government is subject to restrictions as set forth in subparagraph (c)(1)(ii) of the Rights in Technical Data and Computer Software clause at DFARS 252.227-7013 or subparagraphs (c)(1) and (2) of the Commercial Computer Software-Restricted Rights at 48 CFR 52.227-19, as applicable. Manufacturer is Virtual Workspace Corporation/250 East 5th Street, Suite 610/St. Paul, MN 55101.</p> <p>FOR THE LIMITED WARRANTIES AND SPECIAL PROVISIONS PERTAINING TO YOUR PARTICULAR JURISDICTION, PLEASE REFER TO YOUR WARRANTY BOOKLET INCLUDED WITH THIS PACKAGE OR PROVIDED WITH THE SOFTWARE PRODUCT PRINTED MATERIALS.</p> <p>Please indicate your acceptance of the software licensing agreement by clicking on the accept icon. If you disagree with the terms of the agreement, click the decline icon.</p> <div style="text-align: center;"><span>Accept</span> <span>Decline</span></div>
	<div style="text-align: center;"><span>&lt;</span> <span>&gt;</span> <span>MAIN MENU</span> <span>EXIT</span></div>

Figure 13

	<h2 style="text-align: center;">Privacy Statement for Virtual Policy Builder</h2>
	<p>Virtual WorkSpace has created this privacy statement in order to demonstrate our firm commitment to privacy. The following discloses our information gathering and dissemination practices for this site; Virtual Policy Builder.</p> <p>Your IP address is used to help identify you and your shopping cart.</p> <p>Our site's registration form requires users to give us contact information (like their email address) and demographic information (like their zip code, age, or income level). The customer's contact information is used to contact the visitor when necessary. Users may opt-out of receiving future mailings; see the delete/deactivate section below. Demographic and profile data is also collected at our site. We use this data to tailor the visitor's experience at our site, showing them content that we think they might be interested in, and displaying the content according to their preferences. Financial information (like their account or credit card numbers) is collected. Financial information that is collected is used to bill the user for products and services.</p> <p><b>Opt-Out</b></p> <p>Our site provides users the opportunity to opt-out of receiving communications from us at the point where we request information about the visitor.</p> <p><b>Delete/Deactivate</b></p> <p>This site gives users the following options for removing their information from our database to not receive future communications or to no longer receive our service. You can send email to <a href="mailto:delete@virtualworkspace.com">delete@virtualworkspace.com</a></p> <p><b>Change/Modify</b></p> <p>This site gives users the following options for changing and modifying information previously provided. Email <a href="mailto:update@virtualworkspace.com">update@virtualworkspace.com</a></p>
	<div style="text-align: center;"><span>&lt;</span> <span>&gt;</span> <span>MAIN MENU</span> <span>EXIT</span></div>

**Figure 14**



The image shows a graphical user interface window titled "Privacy Statement for Virtual Policy Builder". The window has a title bar at the top. Below the title bar, the text "Privacy Statement for Virtual Policy Builder" is centered. Below this, there is a section titled "Contacting the Web Site" followed by a paragraph: "If you have any questions about this privacy statement, the practices of this site, or your dealings with this Web site, you can contact". Below the paragraph, the contact information for Virtual WorkSpace is listed: "Virtual WorkSpace", "250 East 6th Street", "Suite 610", "St. Paul, MN 55101", and "aj@virtualworkspace.com". Below the contact information, there are two buttons: "Accept" and "Decline". At the bottom of the window, there are three buttons: "<", ">", and "MAIN MENU", followed by an "EXIT" button.

**Privacy Statement  
for  
Virtual Policy Builder**

**Contacting the Web Site**

If you have any questions about this privacy statement, the practices of this site, or your dealings with this Web site, you can contact

Virtual WorkSpace  
250 East 6th Street  
Suite 610  
St. Paul, MN 55101  
aj@virtualworkspace.com

**Accept** **Decline**

**<** **>** **MAIN MENU** **EXIT**



**Figure 15**

**Choosing a Screen Identity**

Choose a screen name and identity for the training session by clicking on the screen name listed below

Screen Names:

Sasha: the warrior princess  
Alvin: the truck driver  
Josh: the surfer dude  
William: the investment banker  
Alice: the domestic engineer

< > MAIN MENU EXIT

**Figure 16**

The screenshot shows a software interface with a title bar at the top containing the text "Choosing a Screen Identity". Below the title bar, there is a text input field with the prompt "Your training session number is:" followed by a horizontal line for input. Below this, a paragraph of text reads: "The session number is used to track and reference the training session in the policy effectiveness module." Further down, another paragraph of text reads: "Click on the training icon to enter the virtual training room." In the center of the screen, there is an oval button labeled "Training". At the bottom of the interface, there is a navigation bar containing three elements: a left arrow button, a right arrow button, and a button labeled "MAIN MENU". To the right of the "MAIN MENU" button is another button labeled "EXIT". On the left side of the interface, there is a vertical sidebar with several rectangular buttons, one of which is circled.

**Choosing a Screen Identity**

Your training session number is: \_\_\_\_\_

The session number is used to track and reference the training session in the policy effectiveness module.

Click on the training icon to enter the virtual training room.

Training

< > MAIN MENU EXIT

**Figure 17**



## Policy Suggestion

**Suggested Policy:** To comply with laws governing software protection from piracy employees must not:

- If you encounter pirated software or suspect software may have been pirated, notify the system administrator immediately and distance yourself from the real or suspected illegal activity.

**Principle:** The principle of present choices states that current decisions tend to limit future action. This means that most important decisions affect two timeframes. The short-term result may be a benefit but the long-term result can be either a benefit or, as often happens, a consequence.

\_\_\_\_\_

\_\_\_\_\_

## Support

Figure 19

**Policy Training**

**Review** policy recommendation questions

**Participate** in group policy discussions

**Pause** the program to:

- Review policy recommendations and statistics from previous sessions
- Request additional information on a topic of subject presented during the previous session
- Technical product support

< > MAIN MENU EXIT

**Figure 20**

**Virtual Training Room**

**Policy Feedback**

Alvin: No changes

Josh: No changes

William: > I hate getting an approval to download software. I want that section changed.

Facilitator: >Does the group think about downloading software and approvals?

Josh: > Have to company make a list of approved software to download...Would that help you Will? Or do you want the option to download anything?

William: > I could live with a list, as long as I can email the someone to approve of the software I want to have downloaded.

< > MAIN MENU EXIT

Figure 21

**Writing the Policy**

**Suggested Policy:** To comply with laws governing software protection from piracy employees must not:

- Make copies of any software unless explicitly authorized.
- Exchange, trade or transfer copies of any software to others in cyberspace.
- Download copies of software that normally would have to be purchased.
- Purchase any software from the Internet without prior approval

If you encounter pirated software or suspect software may have been pirated, notify the system administrator immediately and distance yourself from the real or suspected illegal activity.

Facilitator: If I am correct, you want this section added to the policy?  
*Add>>> All software downloads can be approved by the system administrator. The user needs to email the system administrator to get approval for downloading the software.*

< > MAIN MENU EXIT

Figure 22

**Vote on a Policy Recommendation**

To comply with laws governing software protection from piracy employees must not:

- Make copies of any software unless explicitly authorized.
- Exchange, trade or transfer copies of any software to others in cyberspace.
- Download copies of software that normally would have to be purchased.
- All software downloads can be approved by the system administrator. All network user needs to email the system administrator to get approval before downloading the software.
- Purchase any software from the Internet without prior approval

If you encounter pirated software or suspect software may have been pirated, notify the system administrator immediately and distance yourself from the real or suspected illegal activity.

**Do you agree or disagree with the policy?**

☐ Agree ☐ Disagree

< > MAIN MENU EXIT



Figure 23

**Policy Consensus**

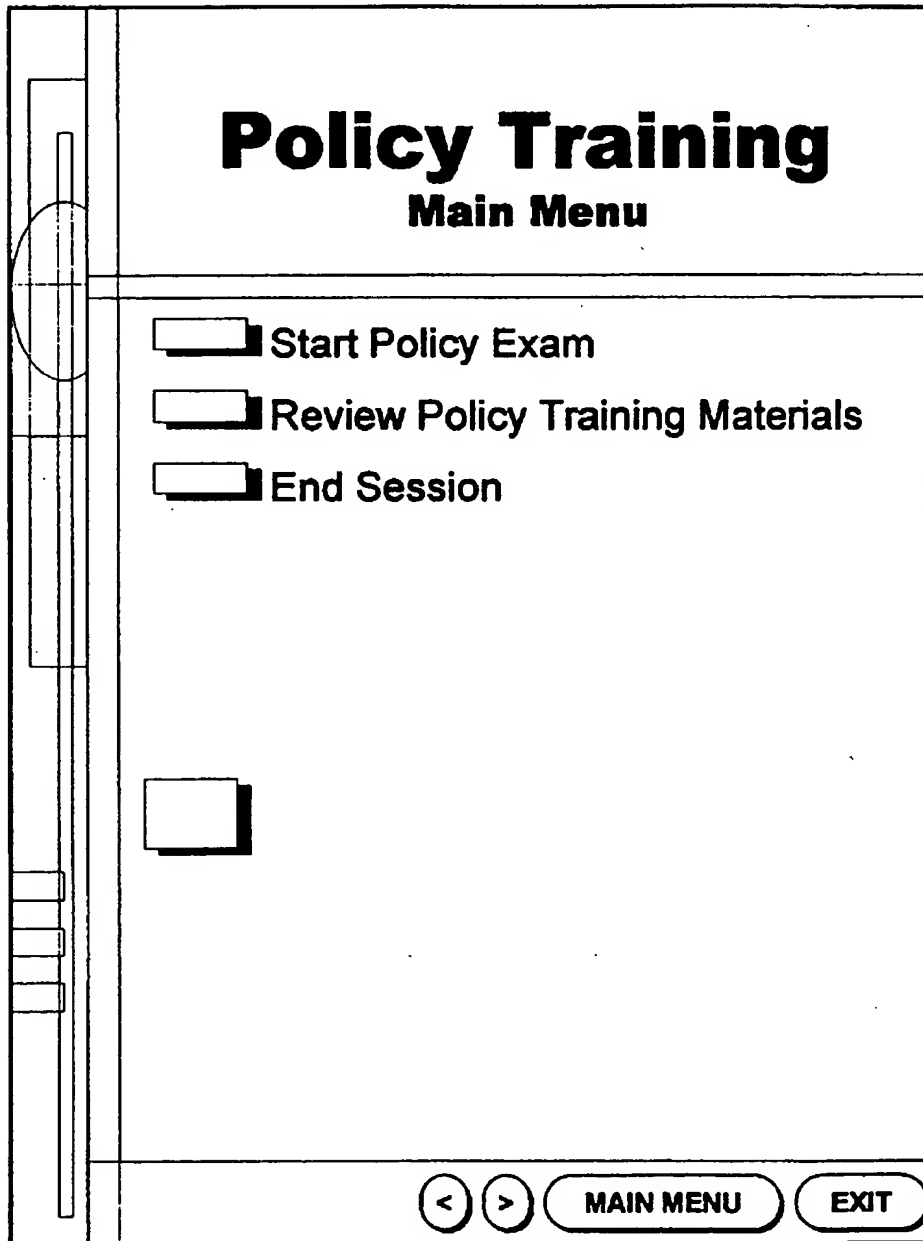
To comply with laws governing software protection from piracy employees must not:

- Make copies of any software unless explicitly authorized.
- Exchange, trade or transfer copies of any software to others in cyberspace.
- Download copies of software that normally would have to be purchased.
- All software downloads can be approved by the system administrator. All network user needs to email the system administrator to get approval before downloading the software.
- Purchase any software from the Internet without prior approval

If you encounter pirated software or suspect software may have been pirated, notify the system administrator immediately and distance yourself from the real or suspected illegal activity.

< > MAIN MENU EXIT

**Figure 24**



**Figure 25**

**Policy Training Exam**

**What is spam?**

- ☒ A slang term for an electronic contract
- ☐ A luncheon meat
- ☐ A slang term for junk e-mail
- ☐ A term used for downloading files from the web

< > MAIN MENU EXIT

# Training Feedback Form

# Training Feedback Form

Was the subject pertinent to your needs and interests?

No To some extent  
Very Much So

Excellent Satisfactory Dissatisfactory

Adequacy of Course Content  
Length of Course  
Adequacy of Course Materials  
Adequacy of Learning Experience  
Adequacy of Facilities

If any factor is rated "unsatisfactory", please provide explanation:

What was of least value to you in this seminar?

What was of most value to you in this seminar?

How will you apply this learning back on the job?

Would you recommend this course for other individuals/teams?

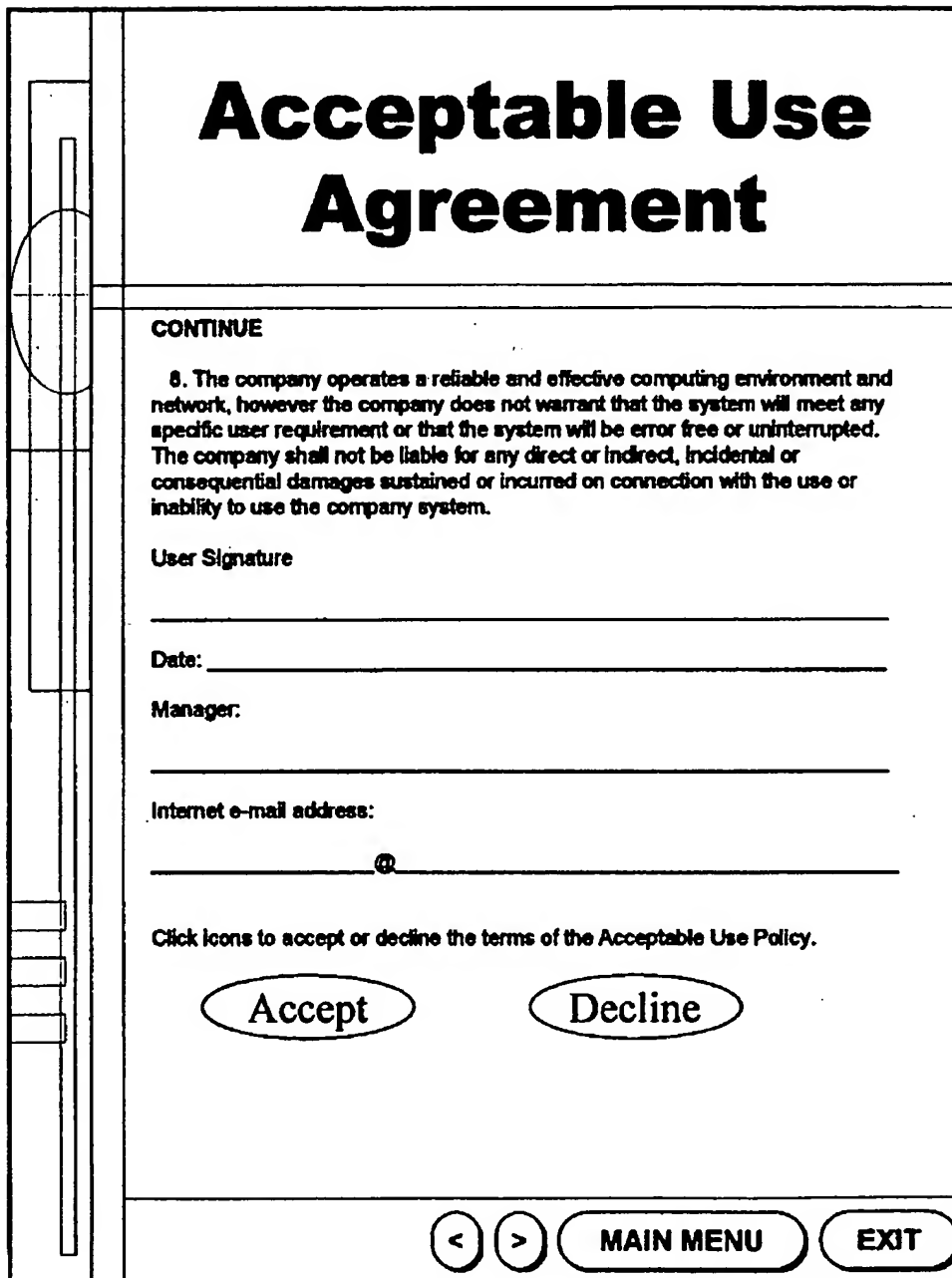
Yes No

< > MAIN MENU EXIT

Figure 27

	<h1>Acceptable Use Agreement</h1>
	<p>This agreement is between the employee and the user indicated below.</p>
	<p>The user agrees to the following:</p> <ol style="list-style-type: none"><li>1. All information stored on the company system is for educational, instructional or administrative purposes. All data stored on the company computer will be suitable for all audiences and shall not violate personnel privacy.</li><li>2. Use of the computer system for commercial purposes is prohibited.</li><li>3. User accounts which are issued for the purpose of making the organizational (county, program, etc.) Web site will have a designated primary user who is responsible for controlling access to the account. The primary user will not share his/her login ID and password with anyone outside the organizational unit, and will change the password regularly.</li><li>4. The company server(s) system is an electronic community. Users are community members and as such must be considerate of other users. Thus, users will attend to their own files and directories and leave others alone. Users shall inform the system administrator, or the Manager if a problem arises with your account or the server(s).</li><li>5. Users will be good stewards of the electronic environment and will not waste space, computing power or other user's time.</li><li>6. Because this is an educational community, there are many children who have access to materials on the system. Users have a responsibility to ensure a nurturing environment for our children. Consequently, users will neither store nor transmit obscene, abusive or otherwise objectionable material on the system. Such actions will result in prompt termination of system privileges.</li><li>7. The company reserves the right to review any material stored on the system and will remove any material which it believes violates an element of this agreement.</li></ol>
<div><span>&lt;</span> <span>&gt;</span> <span>MAIN MENU</span> <span>EXIT</span></div>	

**Figure 28**



The figure shows a graphical user interface for an "Acceptable Use Agreement". The title is centered at the top in a large, bold font. Below the title, the word "CONTINUE" is displayed. A paragraph of text follows, detailing a disclaimer of liability for system errors or damage. Below this text are four input fields: "User Signature", "Date:", "Manager:", and "Internet e-mail address:". The "Internet e-mail address:" field includes an "@" symbol. At the bottom of the main content area, there is a prompt to "Click icons to accept or decline the terms of the Acceptable Use Policy." followed by two oval buttons labeled "Accept" and "Decline". A footer bar at the very bottom contains three elements: a left arrow button, a right arrow button, and two buttons labeled "MAIN MENU" and "EXIT".

# Acceptable Use Agreement

CONTINUE

8. The company operates a reliable and effective computing environment and network, however the company does not warrant that the system will meet any specific user requirement or that the system will be error free or uninterrupted. The company shall not be liable for any direct or indirect, incidental or consequential damages sustained or incurred on connection with the use or inability to use the company system.

User Signature \_\_\_\_\_

Date: \_\_\_\_\_

Manager: \_\_\_\_\_

Internet e-mail address: \_\_\_\_\_@\_\_\_\_\_

Click icons to accept or decline the terms of the Acceptable Use Policy.

**Figure 29**

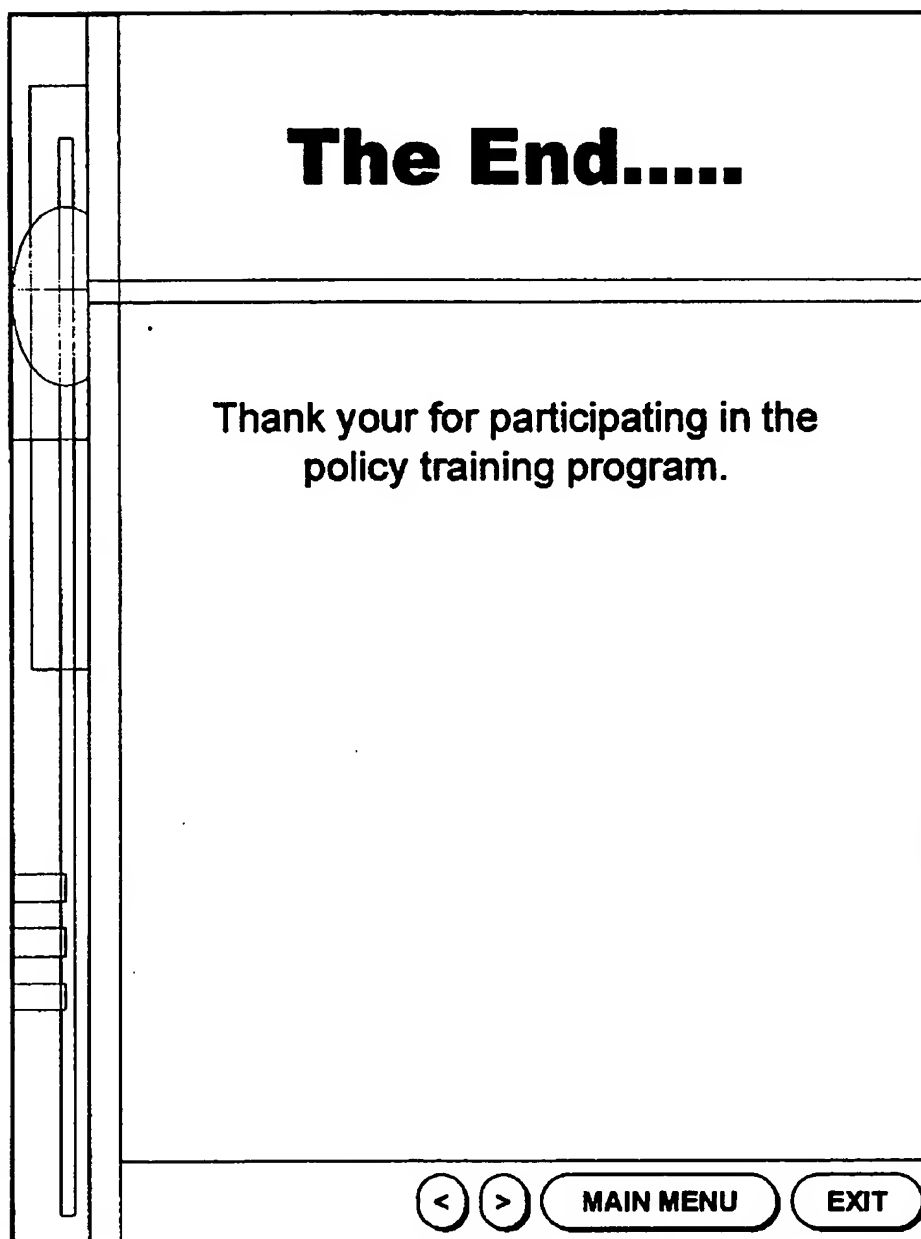
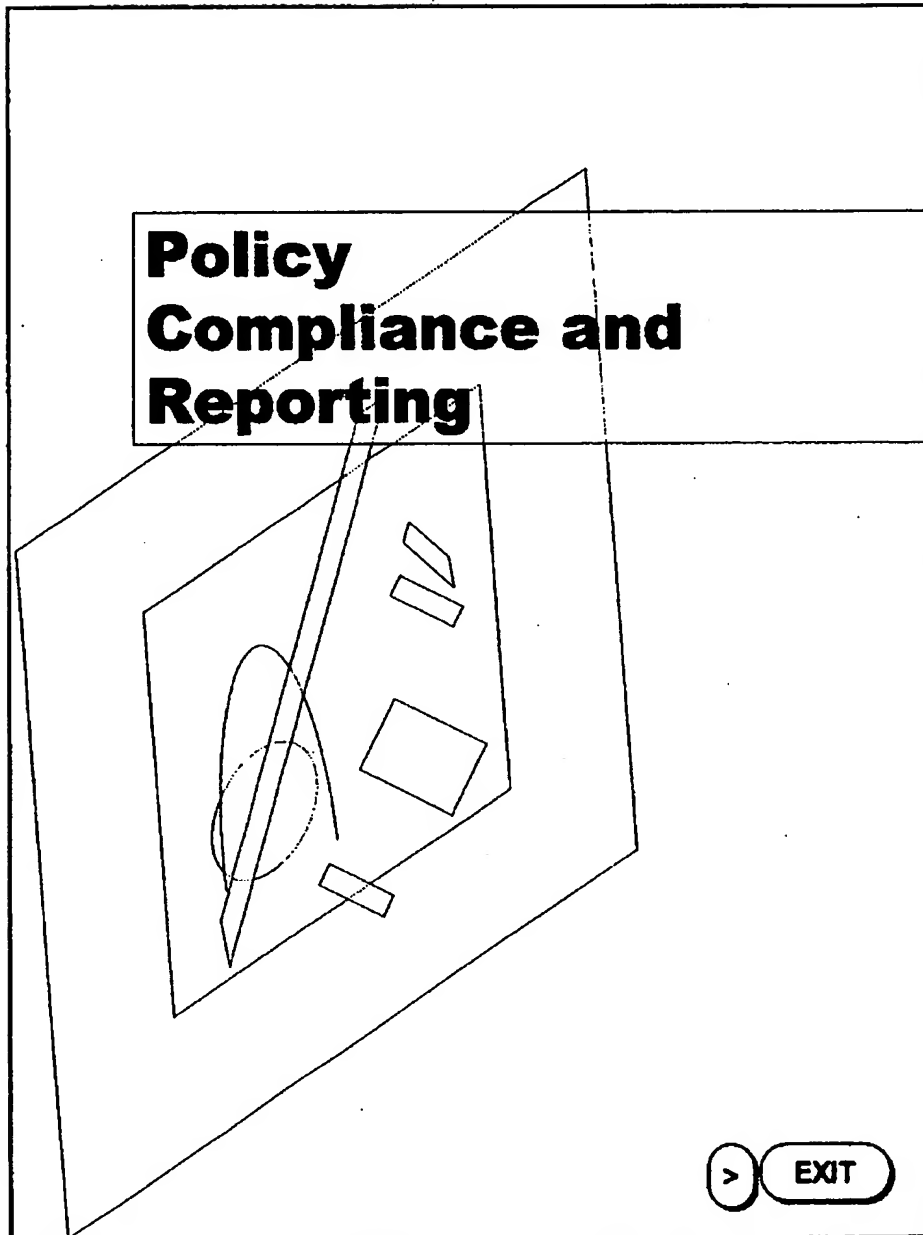
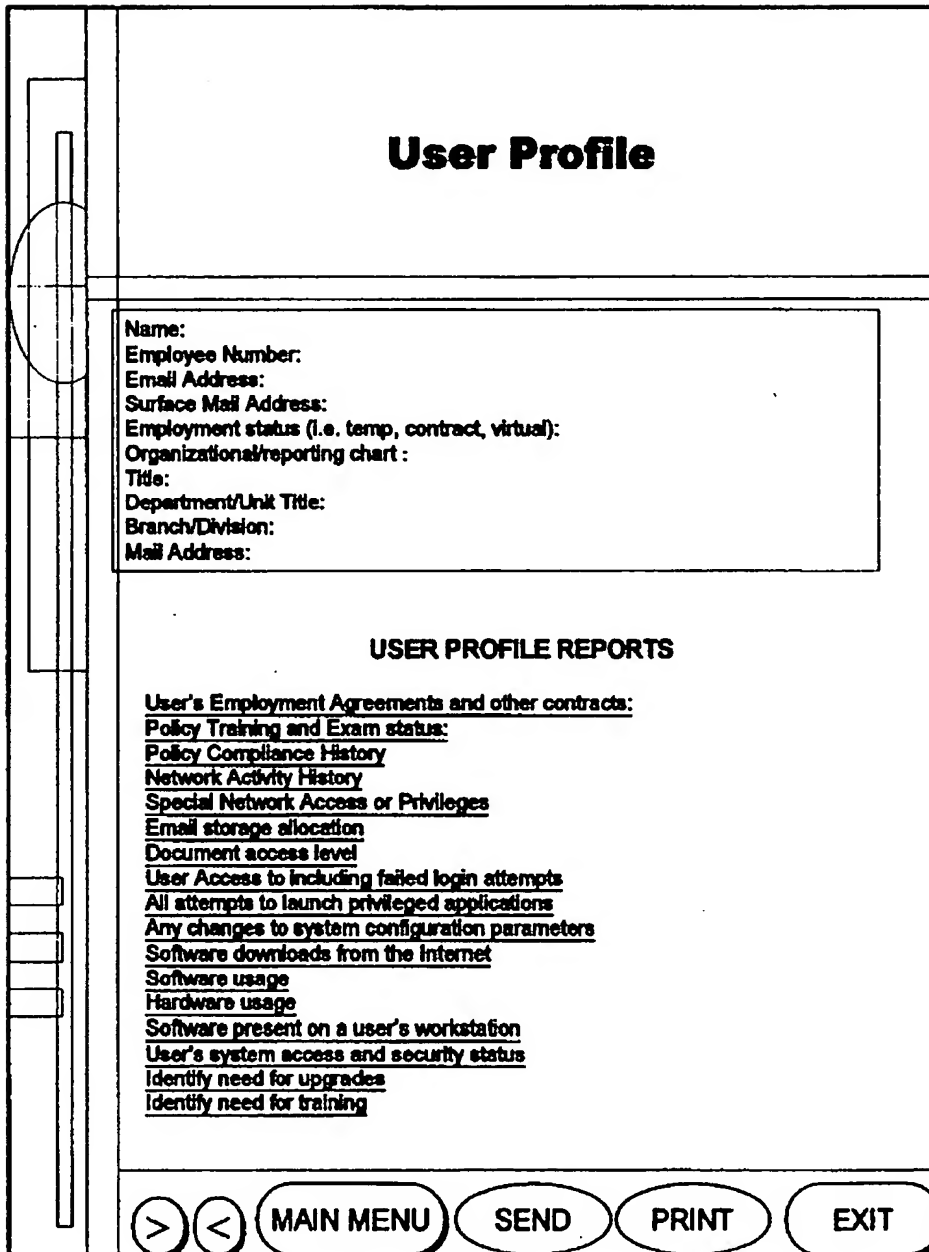


Figure 30





**Figure 31**



The figure shows a graphical user interface for a 'User Profile'. On the left is a vertical sidebar with a circular icon and several rectangular buttons. The main area is divided into three sections: a title section, a data entry section, and a reports section. The title section contains the text 'User Profile'. The data entry section is a box containing labels for Name, Employee Number, Email Address, Surface Mail Address, Employment status (i.e. temp, contract, virtual), Organizational/reporting chart, Title, Department/Unit Title, Branch/Division, and Mail Address. The reports section is titled 'USER PROFILE REPORTS' and lists various report categories, each underlined. At the bottom is a navigation bar with five buttons: a right arrow, a left arrow, 'MAIN MENU', 'SEND', and 'PRINT', followed by an 'EXIT' button.

**User Profile**

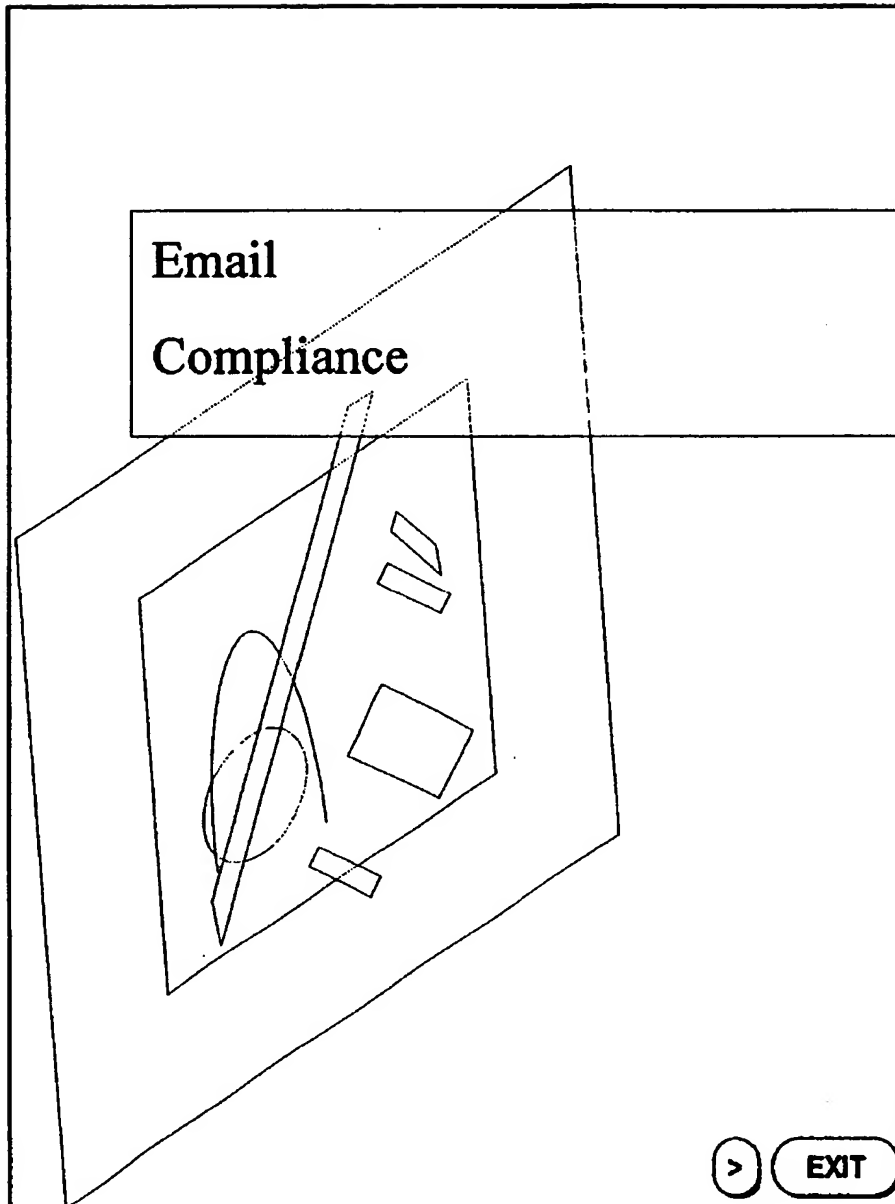
Name:  
Employee Number:  
Email Address:  
Surface Mail Address:  
Employment status (i.e. temp, contract, virtual):  
Organizational/reporting chart :  
Title:  
Department/Unit Title:  
Branch/Division:  
Mail Address:

**USER PROFILE REPORTS**

User's Employment Agreements and other contracts:  
Policy Training and Exam status:  
Policy Compliance History  
Network Activity History  
Special Network Access or Privileges  
Email storage allocation  
Document access level  
User Access to including failed login attempts  
All attempts to launch privileged applications  
Any changes to system configuration parameters  
Software downloads from the Internet  
Software usage  
Hardware usage  
Software present on a user's workstation  
User's system access and security status  
Identify need for upgrades  
Identify need for training

> < MAIN MENU SEND PRINT EXIT

**Figure 32**



**Figure 33**

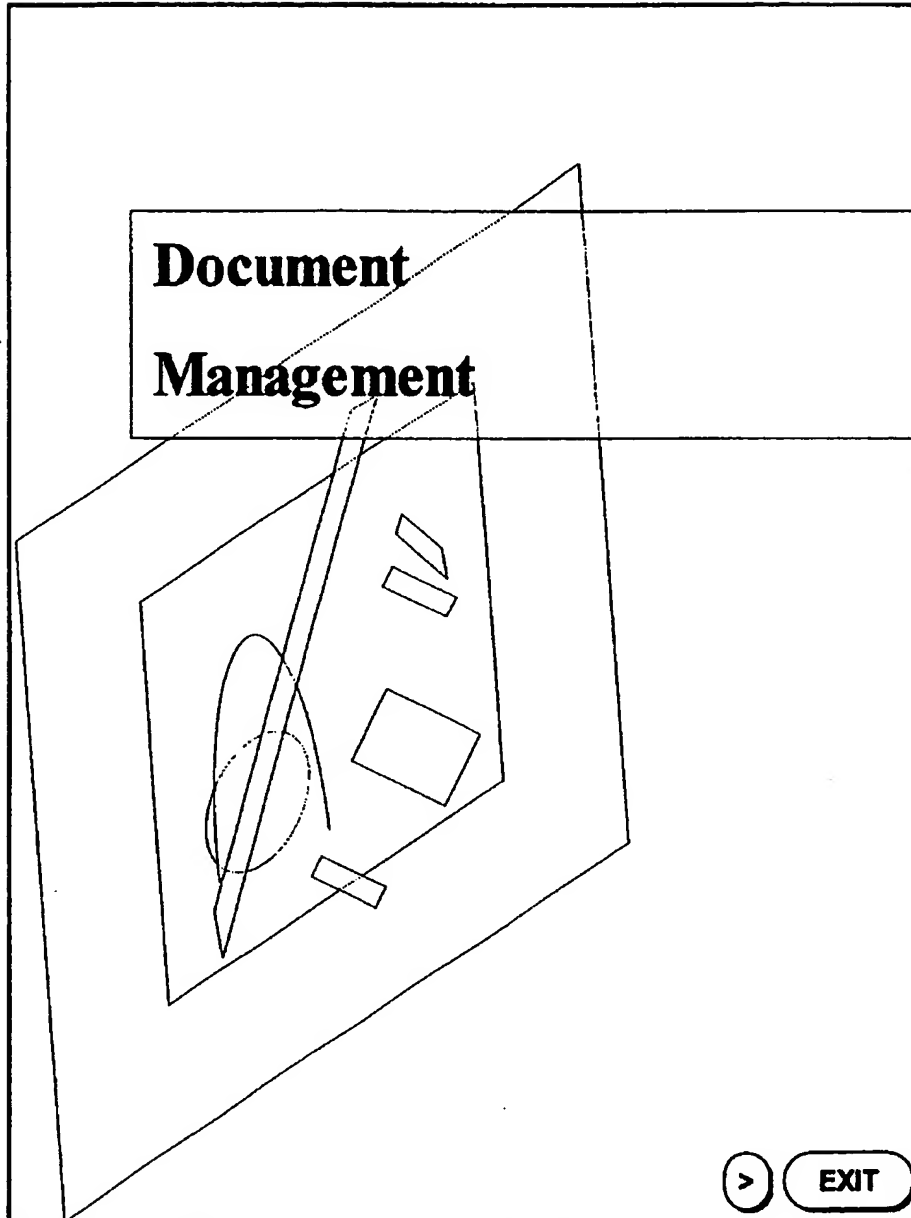


Figure 34

<h2>Software Compliance</h2>	
<h3>REPORTS</h3>	
<p><u>User access including failed login attempts</u> <u>All attempts to launch privileged applications</u> <u>Any changes to system configuration parameters</u> <u>Software downloads from the Internet</u> <u>Software usage</u> <u>Hardware usage</u> <u>Location of software</u> <u>Location of software license agreements</u> <u>Type of software agreements</u> <u>Coordination of software license agreements with software utilization</u> <u>Provide statistical and graphical justification for software purchases, upgrades and maintenance expense</u> <u>Software installations</u> <u>Software compliance</u> <u>Appropriateness, inappropriateness and excessive use of software, hardware resources throughout the enterprise.</u> <u>Number of people waiting for access to software application(s)</u> <u>Access time</u> <u>Value of software being used at anytime</u> <u>Identify need for upgrades</u> <u>Identify need for training</u> <u>Projections for hardware, software and licensing costs/usage throughout the enterprise</u> <u>Predict hardware demand</u> <u>Re-route software and hardware as indicated</u> <u>Personally installed or permitted software installation</u> <u>Utilization of system resources</u> <u>Identify potential policy infringements</u> <u>Identify system trends per department use</u> <u>Allocation of related costs related to department</u></p>	
>	<
MAIN MENU	
SEND	
PRINT	
EXIT	

**Figure 35**

**Audit**

To: PolAdm@Virt.vom  
From: Sys@virt.com  
RE: Audit Reminder  
Branch Location: Minneapolis  
Time: 11:20 a.m.  
Date: May 20, 1998  
CC: Policyeffect@virt.com  
PolAdm@virt.com  
Lan@virt.com

**Audit Results**

Violations:  
Discrepancies:c

Click on the report icon to complete policy violation report. d

Report

> < MAIN MENU SEND PRINT EXIT

**Figure 36**

**Network Policy Compliance Notice**

Reference Number: 985h34  
Posted Date: Mon, 20 May 1998 18:17:38 -0500 (CDT)  
To: Jane.Doe@virt.com  
From: PolicyAdm @virt.com  
Subject: Violation Notice

**Network Non-Compliance Notice**

Name:  
Email Address:  
Title:  
Department/Unit Title:  
Branch/Division:  
Mail Address:  
Violation:  
Violation History: (hyperlink)

> < MAIN MENU SEND PRINT EXIT

**Figure 37**

**Network Compliance  
Action Notice**

The policy advisor has taken the potential violation into advisement and has determined the following procedures:

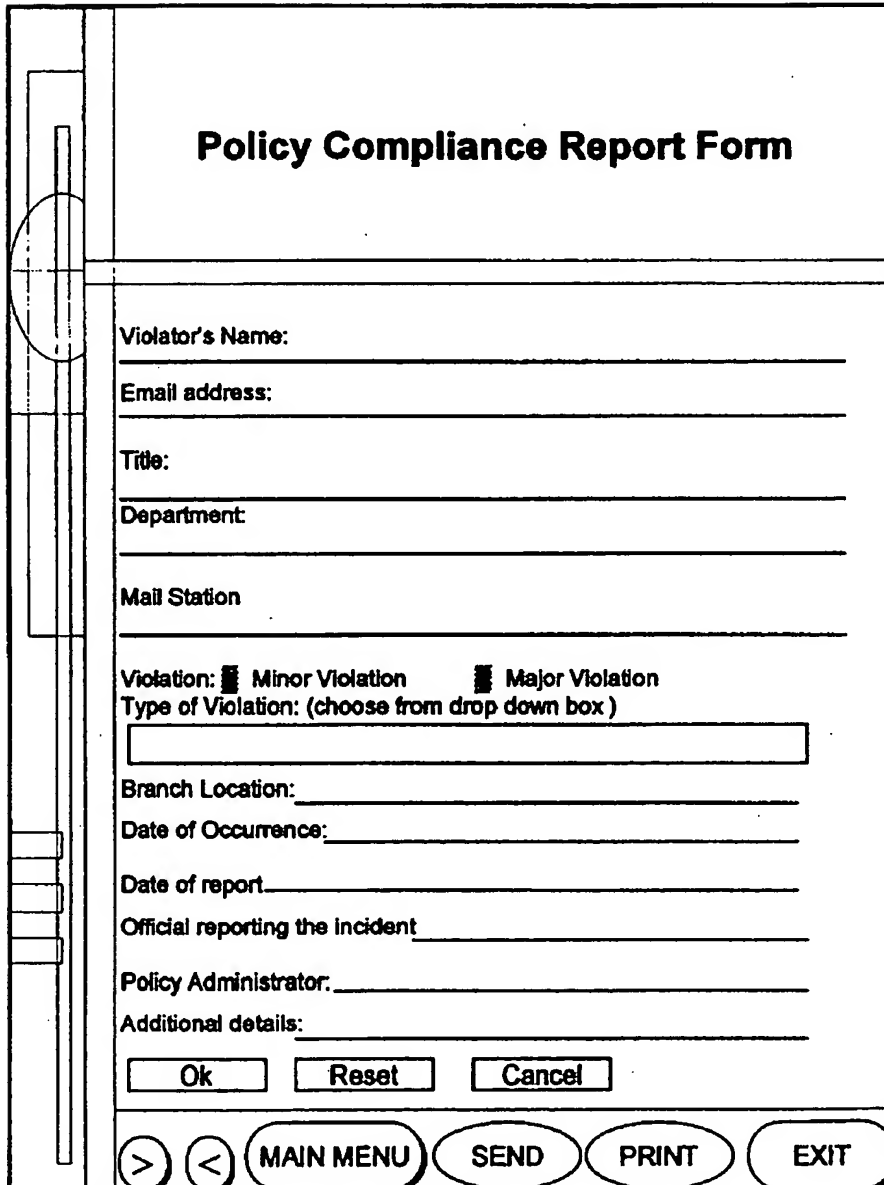
**This Is a Level 2 violation**

Follow the prompts to complete the violation reporting process for this level 2 violation.

Click **start** to begin the violation reporting process.

> < MAIN MENU SEND PRINT EXIT

**Figure 38**



The figure shows a graphical user interface for a "Policy Compliance Report Form". On the left side, there is a vertical sidebar containing a circular icon and several rectangular buttons. The main area of the form is titled "Policy Compliance Report Form" in a large, bold font. Below the title, there are several input fields for user information: "Violator's Name:", "Email address:", "Title:", "Department:", and "Mail Station:". Following these fields are two radio buttons for "Violation:" with labels "Minor Violation" and "Major Violation". Below the radio buttons is a text label "Type of Violation: (choose from drop down box)" and a corresponding empty rectangular box. Further down are fields for "Branch Location:", "Date of Occurrence:", "Date of report", "Official reporting the incident", and "Policy Administrator:". At the bottom of the form area is a label "Additional details:" followed by a horizontal line. Below the form fields are three rectangular buttons labeled "Ok", "Reset", and "Cancel". At the very bottom of the interface is a row of five oval buttons: the first contains a right-pointing arrow ">", the second contains a left-pointing arrow "<", the third is labeled "MAIN MENU", the fourth is labeled "SEND", the fifth is labeled "PRINT", and the sixth is labeled "EXIT".

**Policy Compliance Report Form**

Violator's Name: \_\_\_\_\_

Email address: \_\_\_\_\_

Title: \_\_\_\_\_

Department: \_\_\_\_\_

Mail Station: \_\_\_\_\_

Violation: ☐ Minor Violation ☐ Major Violation

Type of Violation: (choose from drop down box)

\_\_\_\_\_

Branch Location: \_\_\_\_\_

Date of Occurrence: \_\_\_\_\_

Date of report: \_\_\_\_\_

Official reporting the incident: \_\_\_\_\_

Policy Administrator: \_\_\_\_\_

Additional details: \_\_\_\_\_



**Figure 39**

The image shows a graphical user interface for a "Network Compliance Action Notice". The screen has a title bar at the top with the text "Network Compliance Action Notice". Below the title bar, there is a message: "The policy advisor has taken the potential violation into advisement and has determined the following procedures:". This is followed by a bold statement: "This Is a Level 2 violation". Below this, there is a prompt: "Follow the prompts to complete the violation reporting process for this level 2 violation." and a button labeled "start" with the text "Click start to begin the violation reporting process." at the bottom left. At the bottom of the screen, there is a navigation bar with five buttons: ">", "<", "MAIN MENU", "SEND", and "PRINT", followed by an "EXIT" button. On the left side of the screen, there is a vertical sidebar with a scroll bar and several small rectangular buttons.

**Network Compliance  
Action Notice**

The policy advisor has taken the potential violation into advisement and  
has determined the following procedures:

**This Is a Level 2 violation**

Follow the prompts to complete the violation reporting process for this  
level 2 violation.

Click **start** to begin the violation reporting process.

> < MAIN MENU SEND PRINT EXIT

**Figure 40**

**Policy Knowledge Query**

Name: \_\_\_\_\_

Violation: ☐ Minor Violation ☐ Major Violation

Type of Violation: (choose from drop down box )  
\_\_\_\_\_

Branch Location: \_\_\_\_\_

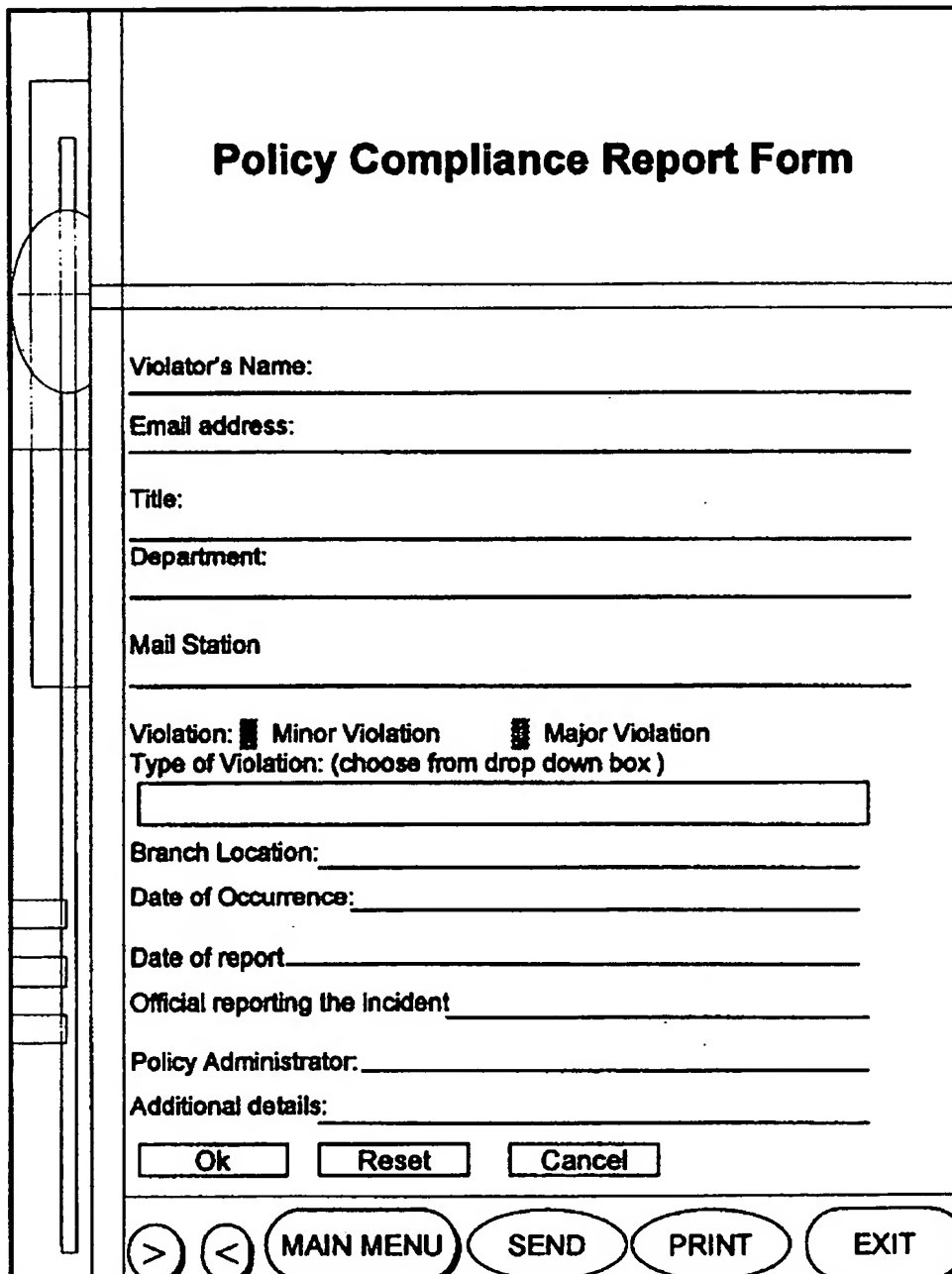
Date: \_\_\_\_\_

Policy Administrator: \_\_\_\_\_

Additional details:  
\_\_\_\_\_

Click icon for more information on how to respond to a violation report.

**Figure 41**



**Policy Compliance Report Form**

Violator's Name: \_\_\_\_\_

Email address: \_\_\_\_\_

Title: \_\_\_\_\_

Department: \_\_\_\_\_

Mail Station \_\_\_\_\_

Violation: ☐ Minor Violation ☐ Major Violation  
Type of Violation: (choose from drop down box )  
\_\_\_\_\_

Branch Location: \_\_\_\_\_

Date of Occurrence: \_\_\_\_\_

Date of report \_\_\_\_\_

Official reporting the Incident \_\_\_\_\_

Policy Administrator: \_\_\_\_\_

Additional details: \_\_\_\_\_

>

**Figure 42**

**Policy Violation Code and Report**

The claim you submitted has been assigned 985h34 as its reference code.

Encrypted email and surface mail copies of the policy violation claim report has been sent to:

- Jane Doe
- John Smith in Human Resources
- System Policy Administrator
- Virtual WorkSpace, LLC - a third party policy organization

---

> < MAIN MENU SEND PRINT EXIT

Figure 43

System Violation Notice	
Email and Snail Mail Notice	
Name:	Jane Doe
User Profile:	(Review Profile from drop down menu)
Violation Type:	Sent an email with confidential file attachment
Violation level:	Level 2
Branch Location:	Minneapolis
Time:	11:20 a.m.
Date:	May 20, 1998
CC:	Jsmith@Virt.com PolAdm@Virt.com Policy@virtualworkspace.com
File Attachments:	Scheduling and violation report
<p>The system indicates you have violated a virtual policy. Attached is a policy violation claim report for your review.</p> <p>We will need your assistance to investigate the claim to determine if it is indeed accurate and if it warrants further discussion. Please follow the procedures below:</p> <ul style="list-style-type: none"><li>• Review the attached policy violation claim report</li><li>• Review your User's Violation History file at <a href="http://www.uservi.com">http://www.uservi.com</a>.</li><li>• Indicate any discrepancies in any of the reports</li><li>• Indicate your availability for an in-person follow up meeting</li></ul> <p>For further information click the user icon <b>User</b></p> <p>All report and investigation information is automatically recorded in the system.</p> <p>Thank you for your cooperation.</p>	
<div><div>&gt;</div><div>&lt;</div><div>MAIN MENU</div><div>SEND</div><div>PRINT</div><div>EXIT</div></div>	

Figure 44

**Subsequent Action Report**

Name:	Jane Doe
Violation level:	Level 2
Branch Location:	Minneapolis
Time:	11:20 a.m.
Date:	May 20, 1998
CC:	Jsmith@Virt.com PolAdm@Virt.com Policy@virtualworkspace.com
File Attachments:	Subsequent Action Report

Following the violation meeting, Human Resources and the user are required to file a subsequent meeting report to verify their attendance at the meeting.

The report can be accessed by click the report icon [Report](#)

If you have any additional questions or concerns, you may contact the Policy Administrator via email: PolAdm@Virt.com or by calling 555-1212.

If you do not agree with the outcome of the meeting, you may file for an appeal. To begin the appeal process, click on the appeal icon [Appeal](#)

> < MAIN MENU SEND PRINT EXIT

**Figure 45**

The screenshot shows a software window titled "The Appeal Process". On the left side, there is a vertical sidebar with a circular icon at the top and several rectangular buttons below it. The main content area contains the following text:

**The Appeal Process**


The Appeal Process grants the user due process, including the opportunity to respond to an alleged violation in writing. The user is given the option to choose an appeal facilitator from the organization.

The chosen facilitator is emailed and granted security and read-only access to a user's file. The facilitator is automatically copied on all appeal process communications. The system records the all communications and written activity.

Internal officers are automatically prompted and sent a notice to schedule the appeal meeting with the new facilitator. The process is reported, stored, and tracked in the policy effectiveness module.

The appeal report is automatically sent to:

- Policy Effectiveness
- The policy officer and the user via email
- The policy officer and the user via snail mail

The user is automatically sent information to inform him of his rights. To access further information, click on the appeal icon .

At the bottom of the window, there is a navigation bar with five buttons: ">" (right arrow), "<" (left arrow), "MAIN MENU", "SEND", and "PRINT". To the right of these buttons is a larger button labeled "EXIT".

**Figure 46**

**Policy Effectiveness Reports**  
Compliance Reports

Enter access code:

Enter hardware token:

Choose report(s) to review:

- User/User profiles
- Network nodes
- Department
- Division
- Branch
- Application
- Time duration
- Timeframe based on:
  - Historical and statistical reports
  - Current
  - Year-to-date
  - Custom time frames
  - Other

> < MAIN MENU SEND PRINT EXIT



**Figure 47**

**Policy Effectiveness Reports**  
Enterprise-Wide Reports

Enter access code:

Enter hardware token:

Choose report(s) to review:

- Policy compliance reports
- Risk assessment
- Strengths and weaknesses in policy compliance and non-compliance
- Email compliance reports
- Software compliance reporting
- Patterns, statistics and assessment of policy violations and non-compliance
- System backup reports
- Document tracking reports
- Audit and reconciliation reports

> < MAIN MENU SEND PRINT EXIT

Figure 48

<b>Policy Effectiveness Action</b>	
<b>Name:</b>	SystemAdm@Virt.com
<b>Violation level:</b>	Level 2
<b>Branch Location:</b>	Minneapolis
<b>Time:</b>	11:20 a.m.
<b>Date:</b>	May 20, 1998
<b>CC:</b>	Network@Virt.com Policy@virtualworkspace.com
<b>File Attachments:</b>	Policy Effectiveness Action Report

Policy Effectiveness has implemented a policy change for personal email usage.

The new policy set the daily personal email usage at 35 messages vs. the previous 30 message limit. The personal email policy can be accessed at <http://www.policy/personalemail.com>

**Appeal**

> < **MAIN MENU** **SEND** **PRINT** **EXIT**

**Figure 49**

The image shows a graphical user interface for a 'Policy Resources' menu. The interface is enclosed in a rectangular border. On the left side, there is a vertical sidebar containing several small, rectangular buttons. The main area of the screen is titled 'Policy Resources' in a bold, sans-serif font. Below the title, there is a list of six menu items, each preceded by a small rectangular icon. The items are: 'Policy Reference Library', 'Legal Research', 'The Virtual Policy Manual', 'Policy Basics', 'Software Resources including software listings and updates', and 'Software Registration'. At the bottom of the screen, there is a horizontal bar containing four oval-shaped buttons labeled '>', '<', 'MAIN MENU', 'SEND', 'PRINT', and 'EXIT'.

**Policy Resources**

- ☐ **Policy Reference Library**
- ☐ **Legal Research**
- ☐ **The Virtual Policy Manual**
- ☐ **Policy Basics**
- ☐ **Software Resources  
including  
software listings and  
updates**
- ☐ **Software Registration**

**Tech and User Support**

> < MAIN MENU SEND PRINT EXIT